



PATENT

THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Steven W. Meeks
APPLICATION NO.: 10/029,957
FILING DATE: 12/21/2001
TITLE: Material Independent Optical Profilometer
EXAMINER: Not Yet Known
GROUP ART UNIT: 2877
ATTY. DKT. NO.: 20830-06581

4/IDS
E. Willis
8-5-02

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Dated: 20 May 2002

By: John T. McNelis, Reg. No.: 37,186

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INFORMATION DISCLOSURE STATEMENT

Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;

- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR §1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
 - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a

foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant request that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. [APPLICATION NUMBER], filed on [FILING DATE], and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,
STEVEN W. MEEKS

Dated: 18 May 2002

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PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTO Rev. 10/95 TRANSMITTAL FORM (to be used for all correspondence during pendency of filed application)	U.S. Department of Commerce Patent and Trademark Office	Application Number	10/029,957	
		Filing Date	12/21/2001	
		First Named Inventor	Steven W. Meeks	
		Group Art Unit Number	2877	
		Examiner Name	Not Yet Known	
Total Number of Pages in This Submission		6+ refs.	Attorney Docket Number	20830-06581

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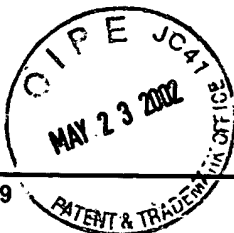
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Signature:			
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Sheet 1 of 2

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(REV. 6-89)U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Attorney's Docket No.

20830-06581

Serial No.

10/029,957

INFORMATION DISCLOSURE CITATION

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Applicant

Steven W. Meeks

Filing Date

12/21/2001

Group Art Unit

Not Yet Known

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	A	3,885,875	05/27/75	Rosenfeld et al.	356	120	
	B	4,332,477	06/01/82	Sato	356	371	
	C	4,668,860	05/26/87	Anthon	250	225	
	D	4,873,430	10/10/89	Juliana et al.	250	225	
	E	5,017,012	05/21/91	Merritt, Jr. et al.	356	371	
	F	5,129,724	07/14/92	Brophy et al.	356	357	
	G	5,196,906	03/23/93	Stover et al.	356	446	
	H	5,293,216	03/08/94	Moslehi	356	371	
	I	5,313,542	05/17/94	Castonguay	385	115	
	J	5,406,082	04/11/95	Pearson et al.	250	339.01	
	K	5,446,549	08/29/95	Mazumder et al.	356	376	

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		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	L	3-221804		Japan				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	M	W.C. Leung, W. Crooks, H. Rosen and T. Strand, <i>An Optical Method Using a Laser and an Integrating Sphere Combination for Characterizing the Thickness Profile of Magnetic Media</i> , Sept. 1989, IEEE Transaction on Magnetics, Vol. 25, No. 5. Pages 3659-3661.
	N	Steven W. Meeks, Walter E. Weresin, and Hal J. Rosen, <i>Optical Surface Analysis of the Head-Disk-Interface of Thin Film Disks</i> , January 1995, Transactions of the ASME, Journal of Tribology, Vol. 117, pages 112-118.
	O	Steven Meeks, Maxtor and Rusmin Kudinar, <i>The Next Battleground: Head-Disk Interface</i> , March 1998, Data Storage, Test & Measurement, pages 29-30, 34 and 38.
	P	<i>Laser Scanning Surface Profilometer</i> , [online], August 1970, [retrieved January 29, 2001], Pages 789-790, Retrieved from the Internet: <URL: http://www.delphion.com/tdbs/tdb?&order=7OC101758 .

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DATE CONSIDERED

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PTO-1449

REV: 02/01

20830/06581/DOCS/1263108.1

FORM PTO-1449
(REV. 6-89)U.S. DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAttorney's Docket No.
20830-06581Serial No.
10/029,957**INFORMATION DISCLOSURE CITATION**

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Applicant
Steven W. MeeksFiling Date
12/21/2001Group Art Unit
Not Yet Known**U.S. PATENT DOCUMENTS**

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	Q	5,463,897	11/07/95	Prater et al.	73	105	
	R	5,608,527	03/04/97	Valliant et al.	356	371	
	S	5,610,897	03/11/97	Yamamoto et al.	369	124	
	T	5,644,562	07/01/97	de Groot	369	110	
	U	5,694,214	12/02/97	Watanabe et al.	356	237	
	V	5,726,455	03/10/98	Vurens	250	559.28	
	W	5,748,305	05/05/98	Shimono et al.	356	237	
	X	5,777,740	07/07/98	Lacey et al.	356	357	
	Y	5,875,029	02/23/99	Jann et al.	356	345	
	Z	5,951,891	09/14/99	Barenboim et al.	219	121.68	
	AA	5,978,091	11/02/99	Jann et al.	356	376	
	BB	5,985,680	11/16/99	Singhal et al.	438	7	
	CC	5,986,761	11/16/99	Crawforth et al.	356	371	
	DD	6,088,092	07/11/00	Chen et al.	356	237.2	
	EE	6,118,525	09/12/00	Fossey et al.	356	237.2	
	FF	6,134,011	10/17/00	Klein et al.	356	369	
	GG	6,157,444	12/05/00	Tomitka et al.	356	237.1	
	HH	6,172,752	01/09/01	Haruna et al.	356	357	

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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